



**Department of Commerce & Consumer Affairs**  
**Office of the Securities Commissioner**  
335 Merchant Street, Honolulu, HI 96813

## Investigate Before You Invest

*Knowledge is power.* The following checklist is designed as a quick reference to help investors ask the right questions before making an investment. Once your questions have been answered, contact the Office of the Securities Commissioner - Compliance Branch at **(808) 586-2722** to verify the information.

**REMEMBER:** The time to ask questions is BEFORE you invest your hard-earned money.

### Seller/Agent Information

Seller/Agent Name: \_\_\_\_\_

Company/Business Name: \_\_\_\_\_

Company/Business Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Today's Date: \_\_\_\_\_

### Questions to Ask

1. What are all the fees, charges or penalties involved in this investment? Explain each.
2. What product(s) are you offering? (check all that apply) \_\_\_ Annuities \_\_\_ Securities \_\_\_ Living \_\_\_ Trust \_\_\_ Estate Planning \_\_\_ Accounting \_\_\_ Other \_\_\_\_\_
3. Who regulates or licenses this product or service? \_\_\_\_\_
4. How does this product meet my investment objectives? \_\_\_\_\_
5. What are the risks? \_\_\_\_\_
6. What written information will I receive about this investment before making a decision?  
\_\_\_ Recent News Releases \_\_\_ Offering Memorandum \_\_\_ Research Reports  
\_\_\_ Most Recent Annual Report \_\_\_ Most Recent Quarterly or Interim Report  
\_\_\_ Prospectus \_\_\_ Other Materials \_\_\_\_\_
7. What registration or license(s) do you hold that authorizes you to sell this product or service? (fill in all that apply)  
\_\_\_ Broker Dealer Registration → CRD No: \_\_\_\_\_  
\_\_\_ Broker Dealer Rep Registration → CRD No: \_\_\_\_\_  
\_\_\_ Insurance License → State License No: \_\_\_\_\_  
\_\_\_ Investment Adviser Registration → IARD No: \_\_\_\_\_  
\_\_\_ Investment Adviser Rep Registration → IARD No: \_\_\_\_\_  
\_\_\_ Accountant License → State CPA No: \_\_\_\_\_  
\_\_\_ Real Estate License → State RE License No: \_\_\_\_\_

(Source: North American Securities Administrators Association (NASAA) Investor Education Program. For more information visit the website at [www.nasaa.org](http://www.nasaa.org))

**To report investment fraud call 58SCAMS (587-2267)/Toll Free 1-877-HI SCAMS**

**Visit our website at [www.investing.hawaii.gov](http://www.investing.hawaii.gov)**

***"Protecting Hawaii Investors"***